

APPENDIX C
MAINTENANCE ACTIVITIES

TASK: Maintenance Activities

SUBTASK: Maintenance of Equipment

THIS CHECKLIST: Production Control

ORGANIZATION:

ACTION OFFICER:

REVIEWER:

DATE COMPLETED:

ASSESSABLE FOA: The specific manager responsible for using this checklist will be designated by the Chief of the Logistics Office supporting the FOA. The responsible principal and mandatory schedule for using the checklist will be reviewed and approved by the FOA Commander.

Step 1. Determine if Maintenance Plans are on hand and current.

Risk: Mission accomplishment will be jeopardized if a maintenance plan is not followed.

Control Objective: Ensure that a maintenance plan is in place, on hand, and current.

Control Technique: Review and analyze maintenance plans for adequacy.

Test Question:

1. Does the activity have a current maintenance plan on hand?

Response: YES___NO___NA___

Remarks:

2. Is the maintenance plan current?

Response: YES___NO___NA___

Remarks:

3. Are all personnel familiar with the contents of the maintenance plan?

Response: YES___NO___NA___

Remarks:

EP 700-7-1(FR)
1 Dec 90

4. Are there established procedures for reviewing and updating the maintenance plan?

Response: YES___NO___NA___
Remarks:

5. Are the procedures to ensure that the maintenance plan is followed?

Response: YES___NO___NA___
Remarks:

EVENT CYCLE: Office Procedures

Step: Inefficient use of resources will degrade mission accomplishment.

Control Objective: Ensure that shop production is planned effectively.

Control Technique: Periodic inspections and reviews of records by supervisory personnel.

Test Question:

1. Are controls in place that ensure work request order numbers are recorded promptly when received?

Response: YES___NO___NA___
Remarks:

2. Have the work orders been prepared per the maintenance plan?

Response: YES___NO___NA___
Remarks:

3. Are controls adequate to ensure that sufficient repairs parts are on hand or on order for each job?

Response: YES___NO___NA___
Remarks:

4. Are controls adequate to ensure that the work can be completed prior to mission requirements for the equipment?

Response: YES___NO___NA___
Remarks:

5. Are controls adequate to ensure that appropriate tools and test equipment are on hand?

Response: YES___NO___NA___
Remarks:

6. Are procedures in place to ensure that the standard man-hour usage for the task to be performed is used to determine labor cost?

Response: YES___NO___NA___
Remarks:

7. Are direct and indirect labor cost included in the total labor cost?

Response: YES___NO___NA___
Remarks:

8. Are procedures in place to ensure that all parts, labor, and material are charged to the appropriate work order?

Response: YES___NO___NA___
Remarks:

9. Are procedures in place to ensure that repair part fabrication is initiated only when necessary?

Response: YES___NO___NA___
Remarks:

10. Are there quality control procedures in place to ensure that all repairs are properly completed and deferred work is properly annotated?

Response: YES___NO___NA___
Remarks:

11. Are procedures in place to ensure that actual parts consumption data are reported promptly to the appropriate maintenance coordinator?

Response: YES___NO___NA___
Remarks:

EVENT CYCLE: FOA execution of the maintenance plan.

Step 1. Regulatory guidance.

Risk: An ineffective and inefficient maintenance program due to noncompliance with regulatory guidance.

Control Objective: Ensure that FOA maintenance plans comply with ER 750-1-1.

Control Techniques: Periodic reviews and inspections.

Test Question:

1. Are procedures in place to ensure regulatory documents are on hand and current?

Response: YES___NO___NA___
Remarks:

2. Are controls in place to ensure that staffing levels are adequate to support the program effectively?

Response: YES___NO___NA___
Remarks:

3. Does an effective training program exist?

Response: YES___NO___NA___
Remarks:

4. Are procedures in place to ensure employee competency?

Response: YES___NO___NA___
Remarks:

5. Are procedures in place to identify appropriate program funding levels?

Response: YES___NO___NA___
Remarks:

6. Are controls in place to ensure that each employee possesses an adequate job description?

Response: YES___NO___NA___
Remarks:

7. Have insurable standards been developed for each task accomplished?

Response: YES___NO___NA___
Remarks:

Step 3: Quality assurance

Risk: The quality assurance for maintenance may not be functioning effectively, and this condition could continue for an extended time without detection and correction.

Control Objective: To ensure that the quality assurance program at each maintenance location works effectively.

Control Technique:

1. Quality Service Reviews (QSRs) of the QA program are conducted periodically at every maintenance activity.
2. Reporting of the status of corrective actions on QSRs recommendations is required and continues until the corrective actions are complete.
3. Diagnoses and final quality control inspection are completed on all equipment being worked on.

Test Question:

1. Has a quality service review of the quality assurance program been conducted within the last two years by the supporting FOA?

Response: YES___NO___NA___
Remarks:

2. If prior QSR reports contain recommendations to correct weaknesses in (or improve) the QA program, has a system for monitoring and reporting on the status of corrective actions been established?

Response: YES___NO___NA___
Remarks:

3. If corrective action have been reported as completed, was the completed status agreed to by the QSR inspector?

Response: YES___NO___NA___
Remarks:

4. Are procedures in place to ensure compliance with diagnosis and final inspection guidance?

EP 700-7-1(FR)
1 Dec 90

Response: YES___NO___NA___
Remarks:

5. Are procedures in place to ensure that adequate test, measurement, and diagnostic equipment (TMDE) test equipment and guidance available to support the program?

Response: YES___NO___NA___
Remarks:

EVENT CYCLE: Operator Qualification

Step: Use qualified and properly licensed operators.

Risk: Inefficient use of resources degrade equipment availability.

Control Objective: Qualified personnel are properly licensed.

Control Technique: Review of operator qualifications and reconcile SF 46 and DA Form 348 on a recurring basis.

Test Question:

1. Is there an established program to train individuals who are not qualified?

Response: YES___NO___NA___
Remarks:

2. Does all equipment have an assigned licensed operator?

Response: YES___NO___NA___
Remarks:

3. Are persons designated and qualified to give road tests on unique equipment?

Response: YES___NO___NA___
Remarks:

4. Do civilians with an SF 45 have a valid state drivers license?

Response: YES___NO___NA___
Remarks:

EVENT CYCLE: Dispatch Systems

Step: Dispatching equipment.

Risk: Ineffective dispatching of equipment degrades availability and maintenance.

Control Objective: Equipment is property dispatched.

Test Question:

1. Is operator Equipment Maintenance Checks and Services (EMCS) performed as per EP 750-1-1 using the proper manual?

Response: YES___NO___NA___

Remarks:

2. Do maintenance coordinators effectively reviews EMCS prior to dispatching equipment?

Response: YES___NO___NA___

Remarks:

3. Does the maintenance coordinator check for a valid license prior to dispatching equipment?

Response: YES___NO___NA___

Remarks:

4. Is care exercised to ensure that equipment is suited for the mission for which it is dispatched?

Response: YES___NO___NA___

Remarks:

5. Does the maintenance coordinator maintain a control record of equipment on dispatch?

Response: YES___NO___NA___

Remarks:

6. Is equipment on extended dispatch reduced to the maximum extent?

Response: YES___NO___NA___

Remarks:

7. Are dispatch vehicles rotated to equalize wearout factors?

EP 700-7-1(FR)
1 Dec 90

Response: YES___NO___NA___
Remarks:

8. Is a register maintained for government credit cards?

Response: YES___NO___NA___
Remarks:

I attest that the above listed internal controls provide reasonable assurance that Corps resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the internal controls for this subtask throughout the Corps are adequate.

Director, Directorate of Logistics Management HQUSACE FUNCTIONAL
PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed internal control review checklist when warranted by unique environmental circumstances. The controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

OPERATING MANAGER (Signature)